

Practitioner's Docket No.: 020728.0101PTUS

PATENT APPLICATION

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: Gopal

Group Art Unit: 1636

Serial No.: 09/404,979

Examiner: McKelvey, T.

Filed: September 22, 1999

For: PEPTIDE-MEDIATED GENE TRANSFER

INFORMATION DISCLOSURE STATEMENT

☐ Box Non-Fee Amendment  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In accordance with 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is directed to the cited reference(s) listed on the attached PTO/SB/08A and PTO/SB/08B. The cited references are believed to be the most relevant known to Applicant(s) and/or Assignee at this time concerning the invention as claimed in the above-captioned patent application. No representation is made or intended that more relevant information does not exist or that the order of presentation of the information in any way reflects their relative pertinence.

Applicant(s) respectfully request(s) that each of the cited information be expressly considered during the prosecution of this application and that the cited reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom. If required, a copy of each reference is attached.

- ☒ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. Thus, no certification or fee is required.
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Signature

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## PATENT APPLICATION

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- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2). Thus, it is believed that no fee is required.
- ☐ c. In payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ i. Attached is a check for the amount of \$180.00.
- ☐ ii. Please charge Deposit Account No. for the amount of \$180.00.
- Please credit or debit Deposit Account No. as needed to ensure consideration of the disclosed information. A duplicate copy of this paper is attached.
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Action or Notice of Allowance, but before payment of the Issue Fee. Applicant(s) petition(s) that the Information Disclosure Statement be considered. For payment of the petition fee (37 C.F.R. §1.17(p)):
- ☐ i. Attached is a check for the amount of \$130.00.
- ☐ ii. Please charge Deposit account No. for the amount of \$130.00.
- ☐ Please credit or debit Deposit Account No. 50-2228 as needed to ensure consideration of the disclosed information. A duplicate copy of this paper is attached.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).
- ☐ 4. The reference(s) was/were cited in a counterpart foreign application. For the Examiner's information, a concise explanation of the relevance, as it is presently understood by the individual designated in Section 1.56(c) most knowledgeable about the content of the information, of each patent, publication, or other information listed that is not in the English language, is attached hereto.

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PATENT APPLICATION

- ☒ 5. It is believed that no fees are due. However, if necessary please charge deficient fees, or credit any overpayment of fees associated with this communication to Deposit Account No. 50-2228.

Respectfully submitted,  
PATTON BOGGS, LLP

Date: 3/15/04

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PTO/SB/08a (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 2

**Complete If Known**

Application Number	09/404,979
Filing Date	September 22, 1999
First Named Inventor	GOPAL
Art Unit	1636
Examiner Name	T. McKelvey
Attorney Docket Number	20728.101PTUS

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. *	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US- 5,972,800	06-03-1988	Ferkol, Jr.	
		US- 5,583,866	12-20-1995	Hancock et al.	
		US- 5,674,704	05-08-1994	Goodwin et al.	
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials *	Cite No. *	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and, not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 2 of 2

Complete if Known

Application Number	09/404,979
Filing Date	September 22, 1999
First Named Inventor	GOPAL
Group Art Unit	1636
Examiner Name	T. McKelvey
Attorney Docket Number	020728.0101PTUS

**OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		SC35, accession #Q01130, NCBI database, entered April 1, 1993.	
		Chitinase A, accession #P29022, NCBI database, entered December 1, 1992.	
		Rocket A to Z (1994). Harper Collins Pub.	
		Essentials of Molecular Biology (4 <sup>th</sup> Ed.) Malacinski, Jones and Bartlett, Eds. (2003).	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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